BSA Direct E-Filing System
Supervisory User Enrollment Guide
Version 1.3.3

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Introduction

As discussed in the "Getting Started" section of the BSA E-Filing public website, the Supervisory User serves as a liaison between BSA E-Filing and his/her filing organization. Supervisory User enrollment is therefore the first step in creating the relationship between BSA E-Filing and your filing organization. It is important to note that only the initial Supervisory User from each filing organization should complete this process. All other users from the filing organization, including any back-up Supervisory Users, will enroll via a distinctly different process.

There are four basic steps involved in enrolling as a Supervisory User, as follows:

1. Downloading the PureEdge Forms Viewer
2. Filling out and submitting the Supervisory Enrollment Form
3. Communicating with the Supervisory User authorizer
4. Receiving a system Login ID and logging into the system

If you are reading this guide, you have decided, based on the information presented on the *Should I Use BSA E-Filing?* section of the public website that it is appropriate for you to enroll as the initial Supervisory User for your filing organization. You should continue through this enrollment guide – completing the steps in sequence. Questions or issues encountered during the Supervisory User enrollment process may be directed to the **BSA E-Filing Help Desk** at 1-888-827-2778 (select option #6) or via e-mail at BSAEFilingHelp@notes.tcs.treas.gov.

Throughout this guide you will occasionally see shaded text boxes containing bold and italicized text such as the one below. Pay special attention to the information in these boxes as it is critical to your successful enrollment in BSA E-Filing.

Note: This is a one-time use guide meant only for the initial Supervisory user from each filing organization. After you have completed the steps contained herein, this guide may be discarded and will not be needed by any subsequent enrollees or for any other actions performed within BSA E-Filing. Other responsibilities that are specific to Supervisory users (e.g., initiating the enrollment of other users, managing filing organization information, tracking the status of the organization's filings) are discussed in the Supervisory User Manual which will be available once you have successfully enrolled.

1. Downloading the PureEdge Forms Viewer

If you have not already installed the PureEdge Viewer application on your computer, you will be able to download the PureEdge forms viewer from the BSA E-filing site at http://bsaefiling.fincen.treas.gov/index.jsp . The PureEdge forms viewer allows you to view and prepare electronic CTR and SAR forms on BSA E-filing view BSA E-filing Alerts, and create Secure Messages to send to FinCEN. PureEdge will also allow you to circulate CTR and SAR forms within your institution, prior to submitting them to BSA E-filing. The PureEdge application requires approximately 4,039 kilobytes free space on your hard drive.

Note: *For users that are not able to download executable files due to your institution's firewall and/or downloading policies, contact the BSA E-FILING Help Desk by phone at 888-827-2778 (select option #6) or via email at BSA E-FILINGHelp@notes.tcs.treas.gov.*

1. *Selecting the download option:* Click on the **Forms Viewer Download** link located on the left navigation bar of the BSA E-Filing site (shown in the following graphic).

2. *Review PureEdge Viewer download instructional page*: Review the PureEdge View Application Download instructional page and click **Download PureEdge Viewer**.


3. Select the '**Run this program from its current location**' option on the pop-up window and click the **OK** button.
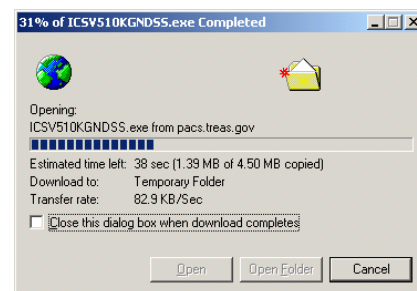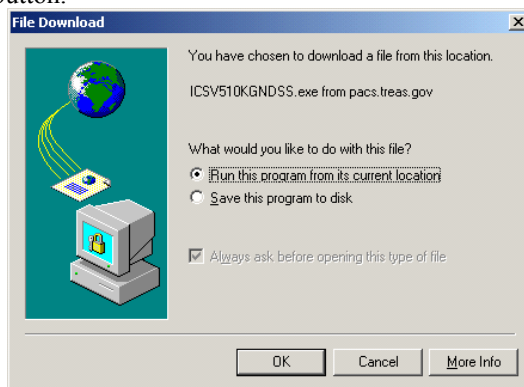
4. Wait while the PureEdge installation files are transferred to your computer. This may take a couple of minutes, even with a high-speed Internet connection.

   If presented with a security warning asking if you want to install and run "ICS Viewer", click **Yes**.

5. Click **Yes** when prompted to install the PureEdge Viewer.
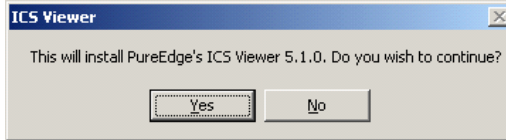
6. Follow the InstallShield Wizard prompts to complete the PureEdge installation process. Accept the default options presented to you on all screens as you proceed through the InstallShield Wizard. The PureEdge InstallShield Wizard will present a message when the installation is complete. On the last screen you should uncheck the '**Launch the application**' checkbox and then click **Finish**.
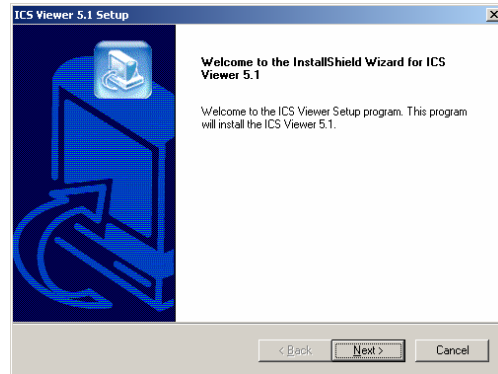
2. Submitting the Supervisory User Enrollment Form

A system User ID is required to access the secure portion of BSA E-Filing where the electronic filing and messaging capabilities exist. The procedure for applying for a system User ID is as follows:

1. Access the BSA E-Filing public website at http://bsaefiling.fincen.treas.gov/index.jsp and select the Supervisory User Application Form link in the left navigation bar. The Supervisory User Application form will be displayed:

2. Each section of the Supervisory User Application form contains instructions for completing the form correctly. Please be sure to read all instructions contained on the form. Mandatory fields are identified with an asterisk (*) and also are shaded yellow.
3. In the first section of the form, User Information, enter the requested information about yourself. Please be sure that you enter your correct e-mail address as it will be vetted, used to distribute enrollment codes for you, and also used to distribute your user ID to you. User Information includes the following:
   - Title
   - First Name
   - Middle Initial
   - Last Name
   - Job Title
   - Phone Number
   - E-mail Address

   The Type field defaults to Supervisory and cannot be changed.

4. In the second section of the form, User Login Information, enter the requested User ID. It is recommended you use your e-mail address as your User ID. Select a Challenge Phrase from the list of available Challenge Phrases and then enter the answer to your Challenge Phrase in the Answer field. The answer to your challenge phrase will be needed to issue your temporary User ID password so it is important to remember this information.

5. In the third section of the form, Organization Information, enter the requested information about your organization. Organization Information includes the following:
    *   Organization Name
    *   Address
    *   City
    *   State
    *   Zip
    *   EIN (Employer Identification Number)
    *   Micr # (Magnetic Ink Character Recognition Number)
    *   TCC (Transmitter Control Code) The TCC is only required if your organization currently files CTR or SAR batches
    *   Federal Regulator or Examiner

6. In the final section of the form, Authorizer Information, enter the information relating to your business and the individual who will authorize you as a BSA E-Filing Supervisory User. As the form suggests, be sure the authorizer you enter has the appropriate authority within your organization to confirm you as the initial Supervisory User. Also be sure the authorizer's contact information is accurate because it will be used in the vetting process. Authorizer Information includes the following:
    *   Title
    *   First Name
    *   Middle Initial
    *   Last Name
    *   Authorizer Phone Number
    *   Authorizer E-mail Address
    *   Common Business Name
    *   Business Address
    *   Business City
    *   Business State
    *   Business Zip Code
    *   Business Country
    *   Business Phone Number
    *   DUNS Number
    *   Group or Department

    If your organization has fewer than 25 employees, then your authorizer may be the same as the Supervisory User.

7. After verifying that you have entered accurate information, click the Submit button to submit the form for processing.

After the vetting process is complete, FINCEN will distribute your User ID to your e-mail address along with instructions on how to access the BSA Direct E-Filing System.

> *Note: Typically, you should receive the e-mail notification from FINCEN within 5-7 days after submitting your application. In some instances, the vetting process takes longer as the authorizer is not readily available.*

3. Communicating with the Supervisory User Authorizer

After you have completed and submitted the Supervisory User Enrollment form, FINCEN will vet your identity and your designation as a BSA E-Filing Supervisory user. In order to complete this vetting process, FINCEN will verify the authorizer's business location and contact this person by telephone.

FINCEN will be asking the authorizer a short series of questions regarding your employment status at the filing organization, your authority to assume the Supervisory User role, and the accuracy of the personal information you entered in the request form. If you are to be an official Supervisory User for your organization, it is critical that the authorizer answer these questions positively. If your authorizer cannot confirm the information you submitted, your request will be denied. In order to increase the likelihood that this process will be completed successfully, you should contact the authorizer and indicate the following:

- You have applied to be the BSA E-Filing Supervisory user for your filing organization.
- You have identified this individual as the authorizer of your identity and designation as a BSA E-Filing Supervisory User.
- FINCEN will be calling to ask questions in this regard.
- He/she should response positively to FINCEN's questions, verifying your role as the Supervisory user.

If the authorizer is aware of and prepared to verify this information, FINCEN will be able to complete the vetting process in a timely manner and generate a User ID for you.

4. Logging on to the BSA Direct E-Filing System

A Secure Message will be sent to the FinCEN Administrator with the Supervisory User information. It is the administrator's responsibility to distribute the userIDs to the user.

The Secure Message has the following information in it:

"UserID for <FirstName> + " " + <LastName>
Message body = "The UserID<UserID> for <FirstName> <LastName> has been created for the user <FirstName> <LastName>. Please give this userID to the user for logging into the BSA system.";

The message from the FinCEN Administrator will contain specific instructions on how to login to the BSA Direct E-Filing System for the first time. Once you have successfully logged into the BSA E-Filing System, you will be presented with the BSA E-filing secure site homepage.

Before you attempt to use the BSA E-Filing system, you should do the following:

- **Download the BSA E-Filing <u>User Manual</u> and <u>Supervisory User Manual</u>** – On the BSA E-Filing secure site homepage you will see a left navigation menu listing all of your regular user and Supervisory User privileges. Also on the left navigation bar you will find links to the **<u>User Manual</u>** and **<u>Supervisory User Manual</u>**.
    - o The <u>User Manual</u> is a comprehensive guide to all the standard BSA E-Filing functionality including user enrollment, CTR, DEP and SAR filing, receiving Alerts, and Secure Messaging communication with FINCEN.
    - o The <u>Supervisory User Manual</u> is a comprehensive guide to all the BSA E-Filing Functionality that is specific to Supervisory Users, including initiating user enrollment, managing user access, maintaining filing organization information, and tracking the status of all filings from an organization.
- **Initiate the enrollment of additional BSA E-Filing users** – If there are additional individuals in your organization that need access to BSA E-Filing, you should initiate the enrollment of these individuals at this time. Section 3 of the <u>Supervisory User Manual</u> (*Initiating the Enrollment of Your Organization's Users*) contains detailed instructions for completing this task once you have determined who needs access to the system.

Note: Now that you have successfully completed enrollment as the initial Supervisory User, you may discard this guide. The <u>User Manual</u> and **Supervisory User Manual** *contain all the information you will need from this point forward.*